



Crossing Over: Mutual Learning and Democratic Action in Instrumental Music Education

# 音乐互助学习与民主行为

【美】Randall Everett Allsup 著

郭声健◎译



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◇ Randall Everett Allsup 著      郭声健 译

◇策 划: 郭声健音乐教育工作室

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## *Preface*

This book tells the story of nine young adults and an educator who came together to make and perform music in a small town in northern New York State. It is a story of musical discoveries, happy confusions, and new attempts at teaching and learning music. This book is also a story of formal research and formal education, one in which questions about creativity and inclusion lead to important findings about the role of popular music and its relationship to public school curriculum, democracy, and cultural diversity. What would traditionally educated music students do, I wondered, if they were allowed to create the music they wanted to create? What would such a classroom look like, and how would traditional student roles and teacher roles change? I began this study with the following claim about American music education. "Missing in the musical world of the typical music student are two important dimensions of artistic experience. First, the need for self-expression and culturally appropriate meaningful music making; and secondly, the need to create a workable space or context in which players share and create their own music." Readers will see that this space became a new kind of classroom.

But what will Chinese readers make of this story, I wonder? How should this research be read? Are its contents generalizable across cultures so vastly separated? Certainly the specifics of what occurred, and with whom



it occurred and how, are unique to the case under investigation. And certainly this book should not be read as pedagogical conversion story, a hubristic attempt by the author to proselytize a new way forward. Rather, I hope that this research story speaks to the music educator — Chinese, American, or otherwise — who is concerned with the traditions we inherit and the pedagogical methods we employ when bringing music to life in classroom cultures. In this study, for example, popular music makes an appearance, but as a genre it is never treated by the participants or me as a substitute or replacement for classical music. There is a lovely passage near the end, one of my favorites, when Colin talks about his love for both the guitar and the trumpet, and displays a convincing unwillingness to choose between them. And why not? I have a very strong feeling that there are many Chinese students who play instruments separated by tradition and formal schooling, and who are just as unwilling to sacrifice one for the other.

Chinese readers might be forgiven for assuming that there has been a great deal of research about popular music and music education in the United States. In spite of the fact that guitar-based popular music has existed here in myriad forms since the 1950's, my study found only one prior article about popular music and music education in our research journals, Patricia Shehan-Campbell's 1995 article "Of Garage Bands and Song-getting." But the floodgates were starting to open. Just as I was finishing work on this dissertation, Lucy Green's sociological interpretation of how popular musicians learn was published to great acclaim. Later, the English-speaking world learned that Scandinavian countries, particularly Finland and Sweden, have been experimenting with diverse musical traditions (including popular music, jazz, and folk traditions) for generations. Today, only seven years after my study's publication, there are scholars around the world grappling with how or whether to bring popular music into the schools. It would not surprise me to learn that Chinese music educators are experimenting with changes to their own curricula as a response to students, like the ones I worked with, who want access to fuller and freer musical experiences.

As a researcher and teacher, questions about diversity and pluralism, and tradition and inheritance, have deepened my scholarship. Yet even as this book argues on behalf of reform, I think I speak on behalf of many Chinese and American educators for whom the nexus of rapid societal change and a globalized commercial culture is deeply troubling. Will my students love the music I grew up with (and does it matter)? Will rapid change make me obsolete? If I make changes to what I teach, how do I know I am doing the right thing? In spite of the difficulties that

these questions pose, I know I cannot simply fallback on the traditions I inherited, or the traditional manner in which I was taught. Good teachers know that traditions must come to life, whether they are uncovered through the American concert band, the Chinese *erhu*, or in the case of this book, through the happy confusions of the past and present. The past, we must remember, is useful only to the extent that it furnishes our students with an understanding and appreciation of their present world.<sup>(1)</sup>

This dissertation study, and the human stories it reveals, has been a capstone event in my life in that it has provided me with both a philosophical and methodological framework for answering the questions I have posed above. I believe that democracy — and I will take pains to explain what I mean by this term below — is an educational means and theoretical aim that can best equip our students with an understanding and appreciation of their present world, and used as an educational method it is one which depends upon the full and free interplay of students' and teachers' talents, passions, and knowledge. This is necessarily an action-based perspective, as evinced in the title of this book. Today I teach more assuredly and knowingly as a democratic music educator. In the close of this preface, I will reveal some ways in which I teach democracy as a method in my courses at Columbia University.

What do I mean by the term democracy? Many of the Chinese students who have taken classes with me at Columbia have told me that their first encounter with the word democracy in the context of music education was unsettling; they saw my talk of democracy as a kind of political interference, at one with American propaganda. My mostly liberal American students have likewise appeared confused by the term in this context. Nominally, the word democracy is associated with government systems, voting rights, free markets, or worse laissez-faire capitalism and American imperialism. Classroom democracy conjures up images of permissiveness, with narcissistic students voting to study only what is easy or of interest to them. Or images of timid teachers who, confined to students' interest, teach in areas they know little about. This is not what I understand the term democracy to signify, nor is this classroom picture part of the philosophical history of what is meant by democracy and education.

John Dewey, the philosopher most closely associated with this notion, writes that a democracy "is more than a form of government; it is primarily a mode of associated living, of conjoint

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(1) Dewey, John. (1938/1998). *Experience and Education*. West Lafayette, IN: Kappa Delta Pi Publications.



communicated experience.” Socialist, more than individualist, the democratic educator considers the classroom an “extended space” where an individual must “refer his own action to that of others, and to consider the actions of others to give point and direction to his own.”<sup>(1)</sup> Capitalizing on the various strengths and weaknesses that students and teachers share, diversity is highly prized and sought after. “Diversity of stimulation means novelty, and novelty means challenge to thought.”<sup>(2)</sup> Through contact with others, one’s capacities become “liberated” and they are freed to grow into areas that are not fixed in advance — certainly not fixed by the teacher. As such, traditions are neither forgotten nor imposed, but they are shared, adopted, even changed. This is a vision for our students of an examined and purposeful musical life, where interaction helps them to do more than adapt to change, but shapes intelligence in ways that give direction to wishes and needs.

Of course, it is not easy — it is the hardest way to teach. And this book, in part, tells the story of this struggle. At the time that I designed, implemented, and wrote about this study, I was much less fluent in teaching through “democratic action.” In fact, much of what readers will see is inaction and confusion, a kind of lurch in the direction of classroom democracy. I asked the question earlier, how should this research be read? One way to read it, I think, is as a cautionary tale. I begin with a great deal of confidence that our instrumental music curricula should change, that we must provide students with a space for “self-expression and culturally appropriate meaningful music making.” But what will become clear as the book progresses is that in calls for democratic classrooms, we need more than simple “space.” Much more is required to promote creativity than to simply provide groups of young musicians with instruments and a rehearsal room, and leave them to see what they do. I see now, better than I did then, that we need to move from the idea of “space” to the idea of “community.” This requires dialogue and interaction, and the stimulation of novelty and diversity.

And, of course, the teacher needs to be involved in multiple ways, as instructor, guide, facilitator, and as learner. The most confusing aspect of this experiment in creativity, for the participants and myself, was my role in the study. While I saw myself as a teacher-cum-facilitator, as well as a “participant observer” in formal research language, the students saw me as a social scientist, a kind of interesting albeit mysterious outsider. There is a scene that highlights this confusion, and deals with a phonetic misunderstanding that may be hard to translate into Chinese.

(1) Dewey, John. (1916/1944). *Democracy and Education*. New York: Free Press: 85.

(2) Ibid: 85

In an exit interview, I asked Tim to describe the relationship between his group of musicians and me. Tim said, “we saw you as a coat.” Misunderstanding him, I heard the word “coach.” Of course I wanted to hear the word coach because that is how I wanted my participants to view me, as a coach, a friend, a helper. The word Tim used, however, was “coat” which was his shorthand for a laboratory scientist, the kind who wear white laboratory coats and perform experiments with mice.

It has taken me years to become the teacher/facilitator I wanted to be, to become the “coach” and not the “coat.” I expect this will be a life-long project of unlearning the past. Like many of the readers of this book, I was trained as a classical musician, without an image of a democratic teacher to use as a guide in my own development. As such, what I understand to be the teacher’s role in the democratic classroom must be reinvented — or to put it another way, the teacher’s role must be one of continual reinvention. We know that young people who wish to write and perform popular music can get along just fine without a formally-educated music teacher beside them. But trained musicians with pedagogical smarts can deepen and enrich what young musicians are curious about. Such teachers can present new worlds to their students, even if these new worlds come from old places. This educational relationship captures what Dewey calls an “extended space” — an imaginative and experimental plane, a classroom that becomes a community of learners and teachers who are reinventing, readjusting, and rehumanizing musical genres and educational methods, and the traditions that accompany them. This is not a static vision, but one that extends in all directions. If I could do this study all over again, I would insert myself more carefully and more wisely within this extended space.

The research presented in this book has had a formative impact on my scholarly life, and I have spent the last seven years trying to develop a curriculum of music teacher education that prepares music teachers with the skills, knowledge, and disposition to become democratic music educators. So profound were the ways in which the nine young adults presented in this case study worked together to create and perform music, and so profound was the growth that I saw, that I have developed a two-semester college course around these findings. Today, in graduate classes at Columbia, students from all nationalities and all musical walks of life are working together in after-school garage bands (mutual learning communities) in which they are asked to create, perform, and think about music in multiple ways — in ways that affirm, challenge, and reinterpret the





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various traditions they share. Their garage bands (I'm not sure how well the term translates into Chinese ) are more than opportunities to learn popular instruments and try out new styles of music, but are also pedagogical experiments. As platforms for discussion as well as performance, the garage band experience is used to interrogate ways of teaching and learning music that may or may not bring to life some of the themes explored in this book.

Finally, I wish to extend a deep measure of gratitude and respect to Dr. Guo Shengjian, who has spent countless hours translating this book. I met Guo as a visiting scholar at Teachers College Columbia University in the fall of 2008, where he observed several of my classes. In conversations I have found him to be wise, curious, and eminently intelligent. Special thanks to the editors and staff at Hunan Normal University Press for considering this book worthy of translation, and for their hard work bringing it to the light of publication.

*Randall Everett Allsup*

*New York City, March 2009*

## 前言

这本书讲述的是纽约州北部一个小镇上的九个高中学生和一位音乐教育教授共同创作和表演音乐的故事，它是一个关于发现音乐、体验音乐创作中那种快乐的困惑，并尝试新的音乐教学法的故事。这本书也为读者描绘了一个正规的研究与教育活动项目，它获得的一个重要研究结果是关于流行音乐在音乐教育中的位置以及它与公立学校音乐课程、民主、文化多样性的关系。我想通过这项研究来弄清楚如下问题：假如传统意义上的音乐学习者被允许创造他们自己想创造的音乐，将会是一种怎样的情形？这样的课堂又会是什么样子的？传统意义上的学生与教师的角色定位又将如何改变？我怀着对美国音乐教育的如下信念开始了这项研究工作，即“音乐学习者沉浸在其特有的音乐世界中以获得审美体验，源于两个方面的需要：一个是自我表现以及参与具有文化意义的音乐创造之需要，另一个是创造一种有利于音乐学习者彼此分享和创造他们自己的音乐的温馨场景或语境之需要”。在本书中，我们将见证一种全新的音乐教学课堂正是这样的一番场景。

然而，中国的读者朋友们又会如何看待这样的一个故事呢？我迫切地希望了解这个问题的答案。到底该怎样去解读这项研究呢？它所体现出的文化差异会很大吗？显然，本研究中所出现的人物、地点以及所发生的事件等都是独有的，因此，这本书不应该被视为是一本音乐教学法著作，作者也没有创建一种新的教学法之企图。在一定程度上，我希望这本书所描述的研究故事是对那些习惯于把传统教学法引入课



堂教学文化的音乐教育工作者述说的,无论他们来自中国、美国,还是世界其他地方。比如,在这项研究中,流行音乐作为一种音乐类型而登堂入室了,而且无论是对参与研究的学生还是对我而言,它并非仅仅是作为古典音乐的附属品或替代品而存在的。当科林说他既爱吉他也爱小号,并强烈地表露出不愿意在这两种乐器之间做出任何选择的时候,我意识到,有一条我所期待的通往研究目标的令人愉快的路径就在眼前。为什么非得要让学生二者择一?此时,我似乎也强烈地感觉到,有许多在传统和正规学校学习器乐的中国学生,他们和科林一样,也并不愿意为了学习某种乐器而牺牲自己的另一所爱。

中国的读者朋友们可能会设想,在美国应该有大量的学者从事有关流行音乐与音乐教育方面的课题研究。事实上,尽管自20世纪50年代以来,以吉他为基础的流行音乐已经在美国存在了,但是,通过研究发现,在我们的音乐教育研究刊物中,仅发表过一篇关于流行音乐与音乐教育方面的研究论文,那就是帕特丽夏·希汉·坎贝尔(Patricia Shehan-Campell)在1995年所写的《车库乐队与歌曲创作》(“Of Garage Bands and Song-getting”)。不过自那以后,人们开始关注这个问题。就在我写作这篇博士论文的时候,露西·格林(Lucy Green)发表了关于流行音乐家学习问题的社会学阐释著作。后来,英语国家了解到在斯堪的纳维亚半岛的一些国家,特别是芬兰和瑞典,有好几代人一直在从事各种音乐传统(包括流行音乐、爵士乐、民间音乐)的实验研究。在我的研究成果发表还只有7年的今天,世界各地的许多学者将研究视角对准了如何或是否将流行音乐引入学校的问题。因此,当我得知我的中国音乐教育同行们正在进行基础教育音乐课程改革以适应学生的需要,让他们享受到更充分和自由的音乐审美体验时,我并没有感到丝毫的惊讶。

关于多样性与多元文化、传统与传承的问题,一直令作为研究者与教师的我苦苦深思着。这本书所探讨的有关教学改革的问题,我想我代表了许多中国和美国音乐教育者的心声,因为我们都深深困惑于社会急剧变革和商业文化全球化的大背景下。我的学生会喜欢我所提供的音乐(以及它真有那么重要)吗?急剧的变革会令我落伍吗?如果我主动改变我所教的东西,我又如何知道我正在做的事情是正确的呢?尽管提出的这些问题都很有难度,但我知道我不能墨守成规,或者模仿着我所受教育时的那种传统方式。好的教师都知道,传统的东西必须被赋予其生命力,不管它们是美国的音乐会乐队还是中国的二胡,或是本书中所描述的情形,也不管是过去还是现在所体验到的那种快乐的困惑。我们必须记住,传统的东西,只有在能够让学生更好地理解并欣赏他们所处的现实世界的前提下才是有用的。<sup>(1)</sup>

本书是我的博士学位论文,该研究以及其中所发生的许多故事,可以说是我人生中经

(1) Dewey, John. (1938/1998). *Experience and Education*. West Lafayette, IN: Kappa Delta Pi Publications.

历的一个重要事件，它为回答我在上面提出的那些问题提供了哲学和方法论的框架。我相信民主（我将通过下面的术语来尽力解释我对它的理解）是一种最能有效地让学生对他们的现实世界充满理解和欣赏的教育手段和理论坐标，作为一种被运用的教育方法，民主有赖于师生之间在才能、激情和知识等方面的充分与自由的相互作用。这必然是一种基于行为的观点，在本书的标题中便可得到印证。今天，我更加确信自己是作为一名民主的音乐教育者在从事着教学工作。在本前言的后面部分，我将介绍一点本人在哥伦比亚大学音乐教育专业课程教学中所实践的民主式教学方法。

我所理解的民主这个词的涵义是什么呢？许多在哥伦比亚大学选修过我课程的中国学生告诉我说，他们第一次在音乐教育的语境中遇到民主这个词汇时是很茫然的；他们以为我在谈论的是作为一种政治术语的民主，在进行一种美国民主价值观的宣传。我的绝大多数美国学生一开始也有着类似的困惑。表面上看去，民主这个词与政府体制、投票权、自由市场或者更糟的持放任政策的资本主义和美国帝国主义等相联系。课堂教学中的民主也被想象成为是一种放任，即自我放纵的学生投票表决只学习那些对他们来说容易学习和感兴趣学习的东西，或想象成谨小慎微的老师只是一味满足学生的兴趣，局限在那些学生了解一点皮毛的领域里进行教学。我要说的是，这不是我所理解的民主的涵义，它也不是哲学史上民主与教育所定义的课堂教学场景。

约翰·杜威（John Dewey）是与民主这一概念联系最紧密的哲学家，他说，民主“并不只是一种政府形式，它首先是一种集体生活的方式，一种相互交流与分享经验的方式”。不管是社会主义者还是个人主义者，真正的民主教育工作者会把课堂看作是一个“可延伸的空间”，在那里，个体必须“考虑他自己的行为与他人的关系，并把他人的行为看作是对自己的指引”。<sup>(1)</sup> 分享和利用学生与老师的各种优势与不足，这是多样性课堂所追寻和获得的最高褒奖。“刺激的多样性意味着新奇性，而新奇性又意味着对思维的挑战。”<sup>(2)</sup> 通过和其他人的交往，一个人的潜能被彻底“解放”，并在事前并不确定（当然也不被老师确定）的未知领域自由地成长。与此同时，传统的东西既不应该被遗忘，也不应该被强加，但是他们可以被分享，被运用，甚至被改变。这对于处在一种需要检验和具有明确目标的音乐生活环境中的学生而言，是一种期盼，在那样的语境中，彼此的相互作用不仅帮助学生适应变化，而且增长智慧，让人充满希望与需求。

当然，要创设出这样的教学情境并非易事，在一定程度上，这本书讲述的就是这样的故

(1) Dewey, John. (1916/1944). *Democracy and Education*. New York: Free Press: 85.

(2) 同注释(1).



事。在我设计、实施本研究课题的时候，我根本就不能自如地通过“民主行为”实施教学。事实上，读者将会看到的大部分内容都显示出研究的过程充满困惑，那是在朝着课堂民主的方向蹒跚而行。此前我问过，应该怎样来解读这项研究？我想，一种方法就是把它作为一个具有警示意义的故事来读。研究开始时，我充满自信地认为，我们的器乐课程应当改变，我们必须为学生创设一个“自我表现和参与具有文化意义的音乐创造”的空间。然而，随着本书慢慢地往后翻阅，读者将会越来越清晰地感到，在呼吁构建民主课堂的时候，我们需要的不仅仅是简单的“空间”，更多的是需要提升学生的创造力，而不是只为一群年轻的音乐学习者提供乐器和排练场所并让他们自己随心所欲地去玩耍。现在，我更为清晰地认识到，我们必须将“空间”感转变为“团体”观。这就要求对话与相互作用，并需要新奇性与多样性的刺激。

这自然也需要教师扮演着多种角色，他既是教育者、引导者、促进者，也是学习者。无论是对于研究参与者还是我自己，在创造力培养的实验过程中最令人困惑的是我在这项研究中的角色定位。当我把自己视为一个“教师——促进者”时（规范的研究用语称之为“参与观察者”），学生则把我作为一个社会科学家和有趣而神秘的局外人看待。有一个情节让这样的一种尴尬充分显现出来（有可能在翻译成中文时出现语义上的误解），那件事发生在研究接近尾声时我对学生进行访谈的一刻，我请我的访谈对象提姆描述一下他的音乐小组和我之间的关系。提姆说：“我们把你看成是一个穿外套（coat）的人。”我误解了他的意思，把外套（coat）这个单词听成了“教练”（coach）。我当然是想听到“教练”这个单词啊，因为这是我想要得到的研究参与者们对我的看法，我希望他们视我为教练、朋友、帮助者。然而，提姆所用的单词竟然是“外套”，这个词隐射着我是一名实验室科学家，那种穿着白色的实验室外套和用老鼠做实验的人。

成为一名我想成为的教师——促进者，做一个“教练”而不是一件“外套”，这花了我许多年的时间，而且我预料这将是一个忘记过去放眼未来的毕生工程。和本书的许多读者一样，我曾经是被作为一名古典音乐家来训练的，没有一个民主的教师来引导我自身的发展。基于此，我所理解的民主课堂的教师角色必须重新塑造，换言之，教师的角色一定是不断重构的结果。我们知道，那些致力于创作和表演流行音乐的年轻一代，在没有任何受过正规训练的音乐教师陪伴身旁的情况下，也能够做得不错。但是，受过训练并掌握了教育学基本原理的音乐家却能够强化年轻的音乐学习者的探究心理。这样的老师可以向他们的学生呈现出一个新世界，纵然这个新世界来自老地方。这样的教育理念创设出一种被杜威称之为“可延伸的空间”——富于想象和充满探索的课堂，它成为了学习者和教师所共同构建

的团体。在这样的团体中，教师在不断创新和调整教学内容与方法，也改变着一直陪伴其左右的传统习惯。它不是静态或单向的，而是向四面八方延伸的。我想，如果我的这项研究能够重新来过一遍的话，我一定会更为小心也更加聪明地融入到这个“可延伸的空间”。

可以说，本书所描述的这项研究工作，对我的学术生涯一直产生着影响。我在过去的7年中，力图完善我们音乐教师教育的课程结构，以便这些课程能够为未来音乐教师提供技能、知识，以及作为一名民主的音乐教育者所具有的气质素养。参与研究项目的9位高中学生共同创造和表演音乐的方式是如此的令人深思，我所见证的他们的成长又是那么令人印象深刻，以至于我自信地将这些研究成果引入到了大学课程当中。今天，在哥伦比亚大学的研究生班里，来自世界上不同国家和不同音乐专业的学生，课余时间在车库乐队（互助学习团体）一起活动，他们采用多种方式来创作、表演和思考音乐，他们确证、挑战与重新解读他们共享的传统。他们的车库乐队（我不知道这个词在中文中怎么翻译比较好）既为他们提供了更多学习流行乐器与尝试新的音乐风格的机会，也可以说是一种难得的教育实验。作为一个交流与表演的平台，车库乐队的经验是值得学校音乐教学借鉴学习的，它或许能够为我们的音乐教学注入活力，这也是本书探讨的一个主要论题。

最后，我想表达对郭声健博士的深深谢意和尊敬，他为本书的翻译花费了大量时间。2007年9月至2008年9月，他在哥伦比亚大学教育学院做访问学者，期间他考察了我的多次课堂教学活动。在我们的交流中，我感觉他是一个睿智、好奇和富有才气的学者。同时，我还要特别感谢湖南师范大学出版社的编辑与工作人员对本书翻译出版价值的认可，以及为本书的出版所付出的辛勤劳动。

兰德尔·埃弗雷特·阿尔苏巴

纽约市，2009年3月



## 内容提要

学校如何为学生探索和创作音乐提供舞台空间? 我们是否应该反思器乐教学如何更好地为学生提供创造、自我表达和了解相关文化的机会? 音乐教育者如何重新评估学校音乐教学所教给学生的音乐与学生在课外音乐生活中所热衷的音乐之间的关系?

这些问题引发了作者决定组建互助学习器乐团体, 团体成员由来自美国小镇的 9 名高中学生器乐学习者和作为促进者的研究者组成。我们的计划是以小组为主体, 以开放的方式进行原创音乐的创作, 最后就自己创作的作品进行表演, 但创作的最终成果并不是本研究的关注重点。

本研究采用了多种资料数据收集的方式, 参与观察法、合作探究法要求被研究对象参与本课题研究的设计和实施。研究者和参与者通过分享对经验的反馈和分析, 以获得分析资料。

9 名学生被分成两个小组: 第一组选择电吉他、贝司、电子合成器、鼓等进行作曲和表演, 而不是选择他们在乐队中演奏的乐器; 第二组选择传统的爵士乐和音乐会乐队的乐器来进行音乐创作。

选择某种音乐体裁和传统的音乐创作模式(与作曲、问题解决和音乐素质相联系的选择)看上去是小组文化中最具有决定性的因素。第一组实质上是一个果酱乐队, 所以采用了一般的流行音乐创作方式, 而第二组把自己定位为一个非车库乐队, 故创作了“古典的”音乐和 20 世纪 30 年代风格的摇摆乐音调。

对于小组集体创作来说, 古典音乐被小组成员和研究者认为是很困难的, 传统的观念倾向于固定的构思和防止作品的演化。而爵士乐或流行音乐的创作则让人感觉有趣、灵活、自主, 且具有个人的意义。在这种小组团体中, 强调个体之间的相互关系, 强调同伴学习和同伴评价, 同时也期待着成员之间的相互关照。研究者(促进者)和参与者之间的一种非等级的平等关系则有利于团体的构建和学生在音乐方面的成长。

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